

# INFORMATION DISCLOSURE STATEMENT

ATTY. DOCKET NUMBER CMT-0016 SERIAL NUMBER 10/530,837 FILED 04/08/2005  
 FIRST INVENTOR: Soojin LEE TITLE GENE FAMILIES ASSOCIATED WITH  
CANCERS

EXAMINER NYA

ART UNIT NYA

1. ☒ Applicant submits herewith a copy of (a) attached form PTO-1449, which lists all patents, publications, applications, or other information submitted for consideration by the Office; (b) a legible copy of each document required by 37 C.F.R. §1.98(b)(2).
2. ☐ Applicant herein apprises the Patent Office of references cited in a parent U.S. application from which this application obtains the benefit of an earlier filing date under 35 U.S.C. §120. The Serial Number of the parent application is U.S. Application \_\_\_\_\_ filed \_\_\_\_\_ and entitled \_\_\_\_\_.  
 The publications cited therein are listed on attached Form PTO-1449. In accordance with 37 C.F.R. §1.98(d) copies of the listed publications are not required. ☐ Additional parent patent applications are listed on an attached sheet.
3. ☐ In accordance with 37 C.F.R. §1.98(a)(3), Applicant hereby certifies that for each reference not in English (check at least one box below):  
☐ A copy of a translation of one or more non-English document, or portion thereof, is provided herewith;  
☐ A concise explanation is (check at least one box below):  
☐ provided in the accompanying foreign or international search report; ☐ incorporated into the specification; and/or ☐ provided herewith.

## 37 C.F.R. §1.97(b)(1), (b)(2) – WITHIN 3 MONTHS OF FILING OR ENTRY IN NATIONAL STAGE

4. ☐ Since this Information Disclosure Statement is being filed within three months of the filing date of the subject application or within three months of the date of entry of the national stage as set forth in 37 C.F.R. §1.491 in an international application, no fee or certification under 37 C.F.R. §1.97(e) is required.

## 37 C.F.R. §1.97(b)(3), (b)(4) – PRIOR TO MAILING OF FIRST OFFICE ACTION OR FIRST ACTION AFTER REQUEST FOR CONTINUED EXAMINATION

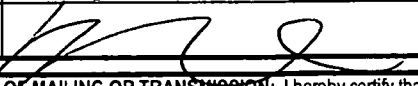
5. ☒ Since this Information Disclosure Statement is being filed before the mailing date of the first Office Action on the merits, or before the mailing of a first Office action after the filing of a request for continued examination under 37 C.F.R. §1.114, no fee or certification under 37 C.F.R. §1.97(e) is required.

## 37 C.F.R. §1.97(c) – AFTER FIRST ACTION, BEFORE FINAL ACTION OR ALLOWANCE

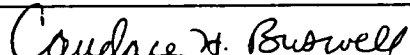
6. ☐ Since this Information Disclosure Statement is being filed outside of the period provided for in 37 C.F.R. §1.97(b), but before the mailing date of a Final Rejection or Notice of Allowance, this submission is being accompanied by (one of the following boxes must be checked):  
 a. ☐ the fee required under 37 C.F.R. §1.97(c)(2) and specified in 37 C.F.R. §1.17(p).  
 b. ☐ the statement specified in 37 C.F.R. §1.97(e) (Box 8 or 9 must be checked).

## 37 C.F.R. §1.97(d) – AFTER FINAL REJECTION OR ALLOWANCE

7. ☐ Since this Information Disclosure Statement is being filed after the period specified in 37 C.F.R. §1.97(c), but on or before payment of the issue fee and is accompanied by both the statement specified in 37 C.F.R. §1.97(e) and the fee set forth in 37 C.F.R. §1.17(p). (Box 8 or 9 must be checked.)
8. ☐ In accordance with 37 C.F.R. §1.97(e)(1), Applicant's attorney certifies that each item of information contained in this Information Disclosure Statement was first cited in any communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this Information Disclosure Statement. ☐ The foreign or international search report(s) is/are enclosed.
9. ☐ In accordance with 37 C.F.R. §1.97(e)(2), Applicant's attorney certifies that no item of information contained in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application, and, to the knowledge of the person signing this certification after making reasonable inquiry, no item of information contained in this Information Disclosure Statement was known to any individual designated in 37 C.F.R. §1.56(c) more than three months prior to the filing of the information disclosure statement.
10. ☒ In the event the Commissioner of Patents deems that any additional fee is required under 37 C.F.R. §§ 1.16 or 1.17 in connection with this application, Applicant's attorneys authorize that such fee be charged to Deposit Account No. 06-1130.
11. Consideration of this Information Disclosure Statement is respectfully requested.

Name:	Soonja Bae	Limited Recognition No. L0017
Signature		Date November 14, 2005

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Name	Candace H. Buswell	
Signature		Date November 14, 2005

**CERTIFICATE OF MAILING BY FIRST CLASS MAIL (37 CFR 1.8)**

Applicant(s): Soojin LEE, et al.

Docket No.

CMT-0016

Application No.

10/530,837

Filing Date

04/08/2005

Examiner

NYA

Customer No.

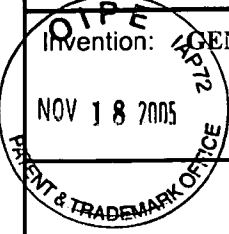
23413

Group Art Unit

NYA

Invention: **GENE FAMILIES ASSOCIATED WITH CANCERS**

NOV 18 2005



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Candace H. Buswell

(Typed or Printed Name of Person Mailing Correspondence)

*Candace H. Buswell*

(Signature of Person Mailing Correspondence)

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<b>INFORMATION DISCLOSURE CITATION</b> <i>(Use several sheets if necessary)</i>				Docket Number (Optional) <b>CMT-0016</b>		Application Number <b>10/530,837</b>		
				Applicant(s) <b>Soojin LEE, et al.</b>				
				Filing Date <b>4-8-2005</b>		Group Art Unit <b>1633</b>		
<b>U.S. PATENT DOCUMENTS</b>								
*EXAMINER INITIAL	REF	DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE	
/QN/		4,908,773A	03/13/1990	Pantoliano, et al.	364	496	04/06/1987	
		5,884,230	03/16/1999	Srinivasan, et al.	702	22	06/14/1996	
		5,873,052	02/16/1999	Sharaf	702	20	11/06/1996	
		5,331,573	07/19/1994	Balaji, et al.	364	500	12/14/1990	
/QN/		5,888,738	03/30/1999	Hendry	435	6	05/28/1997	
<b>U.S. PATENT APPLICATION PUBLICATIONS</b>								
*EXAMINER INITIAL	REF	DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE	
<b>FOREIGN PATENT DOCUMENTS</b>								
	REF	DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	Translation	
							YES	NO
/QN/		WO 92/10092	6-25-1992	PCT				
		WO 90/15070	12-13-1990	PCT				
/QN/		WO 95/11755	5-4-1995	PCT				
<b>OTHER DOCUMENTS</b> <i>(Including Author, Title, Date, Pertinent Pages, Etc.)</i>								
/QN/		"Monitoring gene expression profile changes in ovarian carcinomas using cDNA microarray"; Authors: Kia Wang, et al.; Gene; Vol. 229; 1999; pp. 101-108						
/QN/		"Language Area Localization with Three-Dimensional Functional Magnetic Resonance Imaging Matches Intracal Electrostimulation in Broca's Area"; Authors: G.J.M. Rutten, et al.; Brief Communications; Broca area. Ann Neurol, Vol. 46, No. 3; September 1999; pp. 405-408						
EXAMINER				DATE CONSIDERED				
/Quang Nguyen/				04/04/2008				
EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP Section 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.								

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**U.S. PATENT DOCUMENTS**

*EXAMINER INITIAL	REF	DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
/QN/		5,399,346	03/21/1995	Anderson, et al.	424	93.21	03/30/1994
		4,736,866	04/12/1988	Leder, et al.	800	1	06/22/1984
		5,602,307	02/11/1997	Beaudet, et al.	800	2	09/20/1994
		5,728,915	03/17/1998	Chang, et al.	800	2	05/08/1995
/QN/		5,731,490	03/24/1998	Mak, et al.	800	2	02/21/1995

**U.S. PATENT APPLICATION PUBLICATIONS**

*EXAMINER INITIAL	REF	DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE

**FOREIGN PATENT DOCUMENTS**

	REF	DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	Translation	
							YES	NO

**OTHER DOCUMENTS** *(Including Author, Title, Date, Pertinent Pages, Etc.)*

/QN/		"The Hallmarks of Cancer"; Authors: Douglas Hanahan, et al.; Cell; Vol. 100; 2000; pp. 57-70
/QN/		insight progress"Cancer genetics"; Author: Bruce A. J. Ponder; Nature; Vol. 411; May 2001; pp. 336-341

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**U.S. PATENT DOCUMENTS**

*EXAMINER INITIAL	REF	DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
/QN/		5,723,719	03/03/1998	Ratty, et al.	800	2	02/15/1995
		5,731,489	03/24/1998	Ganten, et al.	800	2	01/17/1995
		5,720,936	02/24/1998	Wadsworth, et al.	424	9.1	07/29/1994
/QN/		5,489,743	02/06/1996	Robinson, et al.	800	2	01/19/1993

**U.S. PATENT APPLICATION PUBLICATIONS**

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**FOREIGN PATENT DOCUMENTS**

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							YES	NO

**OTHER DOCUMENTS** *(Including Author, Title, Date, Pertinent Pages, Etc.)*

/QN/		"Tumor Suppressor Genes"; Author: Robert A. Weinberg; Science; Vol. 254; November 22, 1991; pp. 1138-1146
/QN/		"Distinctive gene expression patterns in human mammary epithelial cells and breast cancers"; Charles M. Perou, et al.; Proc. Natl. Acad. Sci. USA; Vol. 96; August 1999; pp. 9212-9217

EXAMINER <div style="text-align: center; padding-top: 5px;">/Quang Nguyen/</div>	DATE CONSIDERED <div style="text-align: center; padding-top: 5px;">04/04/2008</div>
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<b>U.S. PATENT DOCUMENTS</b>							
*EXAMINER INITIAL	REF	DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
/QN/		5,143,854	09/01/1992	Pirrung, et al.	436	518	03/07/1990
<b>U.S. PATENT APPLICATION PUBLICATIONS</b>							
*EXAMINER INITIAL	REF	DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
<b>FOREIGN PATENT DOCUMENTS</b>							
	REF	DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	Translation YES      NO
<b>OTHER DOCUMENTS</b> <i>(Including Author, Title, Date, Pertinent Pages, Etc.)</i>							
/QN/		"Molecular Classification of Cancer: Class Discovery and Class Prediction by Gene Expression Monitoring"; Authors: T.R. Golub, et al.; Science; Vol. 286; October 15, 1999; pp. 531-537					
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4/8/2005

Group Art Unit

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1633

\*EXAMINER  
INITIAL

OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)

/QN/

"Broad patterns of gene expression revealed by clustering analysis of tumor and normal colon tissues probed by oligonucleotide arrays"; Authors: U. Alon, et al.; Proc. Natl. Acad. Sci. USA; Vol. 96; June 1999; pp. 6745-6750

"Molecular Classification of Cutaneous Malignant Melanoma by Gene Expression Profiling"; Authors: M. Bittner, et al.; Nature; Vol. 406; August 3, 2000; pp. 536-540

"Molecular portraits of human breast tumours"; Authors: Charles M. Perou, et al.; Nature; Vol. 406; August 17, 2000; pp. 747-752

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"Amino Acid Substitution Matrices from Protein Blocks"; Authors: Steven Henikoff, et al.; Proc. Natl. Acad. Sci. USA; Vol. 89; November 1992; pp. 10915-10919

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"Synthesis of Deoxyoligonucleotides on a Polymer Support"; Authors: M.D. Matteucci, et al.; Journal of American Chemical Society; 1981; pp. 3185-3191

EXAMINER

/Quang Nguyen/

DATE CONSIDERED

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*EXAMINER INITIAL	OTHER DOCUMENTS <i>(Including Author, Title, Date, Pertinent Pages, Etc.)</i>				
/QN/	"Protein Sequence Similarity Searches Using Patterns as Seeds"; Authors: Zheng Zhang, et al.; Nucleic Acids Research; Vol. 26; No. 17; 1998; pp. 3986-3990				
	"Enhanced Genome Annotation Using Structural Profiles in the Program 3D-PSSM"; Authors: Lawrence A. Kelley, et al.; J. Mol. Biol.; Vol. 299; 2000; pp. 499-520				
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	"A New Technique for the Assay of Infectivity of Human Adenovirus 5 DNA"; Authors: F.L. Graham, et al.; Virology; Vol. 52; 1973; pp. 456-467				
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/QN/	"RNase Protection Assay"; Authors: Ying Jun Ma, et al.; METHODS: A Companion to Methods in Enzymology; Vol. 10; Article 0102; 1996; pp. 273-278				
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*EXAMINER INITIAL	OTHER DOCUMENTS <i>(Including Author, Title, Date, Pertinent Pages, Etc.)</i>
/QN/	"Continuous Cultures of Fused Cells Secreting Antibody of Predefined Specificity"; Authors: G. Kohler, et al.; Nature; Vol. 256; August 7, 1975; pp. 495-497
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	"Gene Therapy: Promises and Problems"; Authors: Alexander Pfeiffer, et al.; Annu. Rev. Genomics Hum. Genet.; Vol. 2; 2001; pp. 177-211
/QN/	"Possibilities of Non-Viral Gene Transfer to Improve Cutaneous Wound Healing"; Authors: M.G. Jeschke, et al.; Current Gene Therapy; Vol. 1; 2001; pp. 267-278

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/QN/	"Receptor-Mediated Gene Delivery and Expression in Vivo*"; Authors: George Y. Wu, et al.; The Journal of Biological Chemistry; Vol. 263; No. 29; October 15, 1988; pp. 14621-14624				
	"Targeting Genes: Delivery and Persistent Expression of a Foreign Gene Driven by Mammalian Regulatory Elements in Vivo*"; Authors: Catherine H. Wu, et al.; The Journal of Biological Chemistry; No. 264; No. 29; October 15, 1989; pp. 16985-16987				
	"Transgenesis in Nonmurine Species"; Authors: John J. Mullins, et al.; Hypertension; Vol. 22; No. 4; October 1993; pp. 630-633				
	"Transgenic Technology: An Overview of Approaches Useful in Surgical Research"; Authors: D.R. Brenin, et al.; Surgical Oncology; Vol. 6; No. 2; 1997; pp. 99-110				
	"Quantitative Genetics of Transgenic Mice: Components of Phenotypic Variation in Body Weights and Weight Gains"; Authors: A.C. Clutter, et al.; Genetics; Vol. 143; August 1996; pp. 1753-1760				
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	"Human Factor IX Transgenic Sheep Produced by Transfer of Nuclei From Transfected Fetal Fibroblasts"; Authors: Angelika E. Schnieke, et al.; Science; Vol. 278; December 19, 1997; pp. 2130-2133				
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/QN/	"Expression of the IgLON Cell Adhesion Molecules Kilon and OBCAM in Hypothalamic Magnocellular Neurons; Authors: Seiji Miyata, et al.; The Journal of Comparative Neurology; Vol. 424; 2000; p. 74-85				
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OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)

/QN/

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<b>INFORMATION DISCLOSURE CITATION</b> <i>(Use several sheets if necessary)</i>		Docket Number (Optional) <b>CMT-0016</b>		Application Number <b>10/530,837</b>	
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